

Practitioner's Docket No. 814-067.030

PATENT

Preliminary Classification:

Proposed Class:

Subclass:

NOTE: "All applicants are requested to include a preliminary classification on newly filed patent applications." The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand corner of the letter of transmittal accompanying the application papers, for example Proposed Class 2, subclass 129. "M.P.E.P. § 601, 7th ed.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box PATENT APPLICATION Assistant Commissioner for Patents Washington, D.C. 20231

## NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

inventor(s): DOUGLAS A. GEORGE and GUSTAF T. APPELBERG

WARNING: 37 C.F.R.§ 1.41(a)(1) points out:

"(a) A patent is applied for in the name or names of the actual inventor or inventors.

"(1) The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.63, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(I) is filed supplying or changing the name or names of the inventor or inventors.

For (title): METHOD AND APPARATUS FOR MAKING LARGE-SCALE LAMINATED FOIL-BACK ELECTROLUMINESCENT LAMP MATERIAL, AS WELL AS THE ELECTROLUMINESCENT LAMPS AND STRIP LAMPS PRODUCED

THEREFROM

### CERTIFICATION UNDER 37 C.F.R. § 1.10\*

(Express Mail label number is mandatory) (Express Mail certification is optional.)

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are EL628641408US , addressed therein are being deposited with the United States Postal Service on this date, \_\_\_\_ "Express Mail Post Office to Addressee," mailing Label Number Assistant Commissioner for Patents, Washington, D.C. 20231.

> Judith Schick (type or print name of person

e of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

WARNING: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing, 37 C.F.R. § 1,10(b),

Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(New Application Transmittal [4-1] page 1 of 11)

1.	Type of Application
	This new application is for a(n)
	(check one applicable item below)
	☑ Original (nonprovisional)
	□ Design
	□ Plant
WA	RRNING: "Do not use this transmittal for a completion in the U.S. of an International Application under 3 U.S.C. S 37(pt/dt), unless the International Application is being filled as a divisional, continuation on continuation-n-part application.
WA	ARNING: Do not use this transmittal for the filing of a provisional application.
NO	TE: If one of the following 3 items apply, then complete and attach ADDED PAGES FOR NEW

APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and a NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION.

- Divisional
- Continuation
- ☐ Continuation-in-part (C-I-P)

# 2. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120, or 121)

NOTE: A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. § 112. Each prior application must also be:

(i) An international application entitled to a filing date in accordance with PCT Article 11 and designated the United States of America: or

(ii) Complete as set forth in § 1.51(b); or

(iii) Entitled to a filing date as set forth in § 1.53(b) or § 1.53(d) and include the basic filing fee set forth in § 1.16; or

(iv) Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(I) within the time period set forth in § 1.53(f).

37 C.F.R. § 1.78(a)(1)

NOTE: If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

WARNING: If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. §§ 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. §§ 120,121 or 365(c). (35 U.S.C. § 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. §§ 199, 365(a) or 365(b).) For a c-l-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-byclaim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205.

purposes.)

WARNING:		When the last day of pendency of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, any nonprovisional application claiming benefit of the provisional application must be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 C.F.R. § 1.78(a)(3).				
		The new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.				
3.	Papers	Enclosed				
	Required for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 (Design) Application     Opeges of specification     Pages of claims     Sheets of drawings					
	WARNIN	G: DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, while, smooth, and non-shiry paper and meet the standards according to § 1.84. If corresponds to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is equited or desired. The comments on proposed then new 37 C.F.R. § 1.84, see Notice of March 9, 1988 (1990 O.G. 57-62).				
	NOTE:	"Identifying indicis, if provided, should include the application number or the title of the invention, inventor's name, docket number (if apress no local if the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawing a minimum distance of 1.5 cm (6/8 inch) down from the top of the page "37 CF.R. § 1.84(f).				
		(complete the following, if applicable)				
		The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. § 1.84(b).				
		The enclosed drawing(s) are in color. Three (3) sets of color drawings and a "PETITION TO ACCEPT COLOR DRAWING(S)" are attached. 37 C.F.R. §§ 1.84(a)(2) and 1.84(b).				
		formal informal				
	B. Oth	er Papers Enclosed				
	_1 Pa	ges of declaration and power of attorney ges of abstract ner <u>(title page)</u>				
4.	Additio	nal papers enclosed				
	□ Ame	endment to claims				
	☐ Can	acel in this application claims before calculating the g fee. (At least one original independent claim must be retained for filing				

□ Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)

		Preliminary Amendment						
		Information Disclosure Statement (37 C.F.R. § 1.98)						
		Form PTO-1449 (PTO/SB/08A and 08B)						
		Citations						
		Declaration of Biological Deposit						
		Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence						
		Authorization of Attorney(s) to Accept and Follow Instructions from Representative						
		Special Comments						
		Other						
5.	Dec	claration or oath (including power of attorney)						
NOTE:		A newly executed declaration is not required in a continuation or divisional application provided that the prior nonprovisional application contained a declaration as required, the application being filled is paid or fewer than at the inventors named in the prior application, there is no new matter in the prior application than a the prior application (showing the signature or an indication that the executed declaration filled in the prior application (showing the signature or an indication that the signature or an indication that the prior application of the names of pressn(s) who are not in the application was filled under § 147, then a copy of that declaration in the prior application was filled under § 147, then a copy of that declaration in the prior application was filled under § 147, then as						
NOTE	Ε:	or, if a nonsigning person under § 1.47 has subsequently only on a processor grating § 1.47 status, or, if a nonsigning person under § 1.47 has subsequently executed declaration must be filed. See 37 C.F.R. § 1.62(d)(1)-(3).  A declaration filed to complete an application must be executed, identify the specification to which it is						
		directed, identify each inventor by full name including family name and at least one given name, without abbreviation together with any other given name or Initial, and the residence, post office address and country or citizenship of each inventor, and state whether the inventor is a sole or joint inventor, 37 C.F.R. § 1.63(a)(1)-(4).						
NOTE	E:	The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.62 except as provided for in § 1.53(f)(4) and § 1.53(f). Han oath or declaration as prescribed by § 1.63 is not fleet during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers flied pursuant to § 1.53(u) unless a polition under this paragraph accompanied by the fee set forth in § 1.17(f) is fleet supplying or changing the name or names of the inventor or inventors 3.72 CFR. § 1.41(a)(f).						
		☑ Enclosed						
		Executed by						
		(check all applicable boxes)						
		<ul> <li>inventor(s).</li> <li>legal representative of inventor(s). 37 C.F.R. §§ 1.42 or 1.43.</li> <li>joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.</li> </ul>						
	This C.F.	s is the petition required by 37 C.F.R. $\S$ 1.47 and the statement required by 37 R. $\S$ 1.47 is also attached. See item 13 below for fee.						
□ 1	Vot	Enclosed						

NO	TE:	ma FC	y be	he filing is a completion in the U.S. of an International Application or where the completion of application contains subject matter in addition to the International Application, the application treated as a continuation or continuation-in-part, as the case may be, utilizing ADDE PAGE EW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION D.
				Application is made by a person authorized under 37 C.F.R. § 1.41(c) on behalf of all the above named inventor(s).
(	The	dec	lara	ion or oath, along with the surcharge required by 37 C.F.R. § 1.16(e) can be filed subsequently).
				Showing that the filling is authorized. (not required unless called into question. 37 C.F.R. § 1.41(d))
6.	Inv	/ent	orsł	nip Statement
WA	RNII	VG:	OW	e named inventors are each not the inventors of all the claims an explanation, including the pership of the various Claims at the time the last claimed invention was made, should be miltled.
The	e inv	/ent	orsh	ip for all the claims in this application is:
		Th	e sa	me.
				or
		No	t the	An employed to the state of the
	ш	at 1	the t	same. An explanation, including the ownership of the various claims ime the last claimed invention was made,
			is s	submitted.
			will	be submitted
7.	Laı	ngu	age	
NOT	Œ:	requ	∟ngıı ıired	eation including a signed eath or declaration may be filed in a language other than English, sh translation of the non-English language application and the processing fee of \$130.00 by 37 C.F.R. § 1.17(k) is required to be filed with the application, or within such time as may the Office. 37 C.F.R. § 1.52(d).
		X		English Non English
				The attached translation includes a statement that the translation is accurate, 37 C.F.R. § $1.52(d)$ .
8.	Ass	sign	mer	nt
		X	An	assignment of the invention to
				is attached. A separate ☐ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☑ FORM PTO 1595 is also attached. will follow.
NOT	E:	"If a appi	n as	signment is submitted with a new application, send two separate letters-one for the nand one for the assignment." Notice of May 4, 1990 (1114 C.G. 77-78).

WARN	IING:	A newly e continuation	xecu n-in-p	ted "C art app	ERTIFICATE lication is filed	UNDER by an ass.	37 C.F.R. § ignee. Notice	3.73(b)" must be filed when a of April 30, 1993, 1150 OG 62-64.
□ Ti	his is ne pare	a □ cont ent applica	inua ation	tion E	divisional	applicat _ was fil	ion and the	assignment document for
								Reel
								Frame
9. C	ertifie	d Copy						
С	ertifie	d copy(ies	) of	applic	ation(s)			
С	ountry				Ap	opln. No		Filed
C	ountry				Ap	opln. No		Filed
from v	which	oriority is	clain	ned:				
		is (are) at will follow		ed.				
	§ 12 PAG APP	application of is itself ent	or Intellitiled ( NEW () CL/	ernation to priori APP AIMED. C.F.R.	nal Application ity from a prior LICATION T	from whic foreign a	h this applicati	iled directly relates. If any parent or claims benefit under 35 U.S.C. complete item 18 on the ADDED BENEFIT OF PRIOR U.S.
					CLAIMS	S AS FIL	ED	
Numb	er filed	i			Number Ex	xtra	Rate	Basic Fee 37 C.F.R. § 1.16(a) \$710.00
Total (		1.16(c))	50 -	20 =	30	×	\$18.00 =	
								540.00
		Claims 1.16(b))	4 -	3 =	1	х	\$80.00 =	80.00
		endent cla .F.R. § 1.				+	\$260.00	
		Amendme	ent d	eleting	ng extra cla g multiple-d is not bein	epender	icies is encl	osed.
NOTE:	amer	dment, prioi	r to ti	re expli	are not paid or ration of the tir ciency. 37 C.F.	ne period	set for respon	paid or the claims canceled by se by the Patent and Trademark

Filing Fee Calculation

\$ 1,330.00

В	Design application (\$310.00 − 37 C.F.R. § 1.16(f))
	Filing Fee Calculation \$
C.	.   Plant application
	(\$480.00 - 37 C.F.R. § 1.16(g))
	Filing Fee Calculation \$
11. Small	Entity Statement(s)
□ St is	atement(s) that this is a filing by a small entity under 37 C.F.R. §§ 1.9 and 1.27 (are) attached.
WARNING:	"Slatus as a small entity must be specifically established in each application or patent in which the status is available and deserved. Status as a small entity in one application or patent does not affect any other application or patent, including applications or patents which are directly or indirectly dependent upon the application or patent in which the status has been established indirectly application or application or application or confined on-in-part application and patents are status as a status of the status and application or confined or application or confined or application application and application application application application application application application application and application application and application and application and application and application and application and application are attainment fleel in the prior application or in the patent if the nonprovisional application or the resistence application includes a reference to the statement in the patent and status as a small or of the statement application and application are the statement and the basic statement and status as a small or of the statement application and the status as a small or application are statement and the basic statement application are statement and status as a small or application are statement and the basic statement and status as a small or application are statement and basic statement and status as a small or application are statement and the patent and status as a small or application are statement and the patent and status as a small or application and the patent and status as a small or application and the patent and status as a small or application are statement and the patent and status as a small or application and the patent and status as a small or application and the patent and status are small or application and the patent and status are small or application and the patent and status are application and the patent and status are application and the status are application and the sta
	statement can <b>unequivocally</b> make the required self-certification." M P E.P., § 509.03, 6 <sup>th</sup> ed., rev. 2, July 1996 (emphasis added).
	(complete the following, if applicable)
	☐ Status as a small entity was claimed in prior application
	, filed on, from which benefit is being claimed for this application under:
	35 U.S.C. § □ 119(e), □ 120, □ 121, □ 365(c), and which status as a small entity is still proper and desired.
	Applicant is a Small Entity and has filed as such in prior
	applications.
	Filing Fee Calculation (50% of A, B, or C above)
	\$665.00
7.	Tup excess of the full fice paid will be refunded if a small entity statement and a refund request are liced within 2 months of the date of timely payment of a full fice. The two-month period is not extendable under § 1.136. 37 C.F.R. § 1.28(a).
12. Reque	st for International-Type Search (37 C.F.R. § 1.104(d))
	(complete, if applicable)
□ Ple wh	ase prepare an international-type search report for this application at the time en national examination on the merits takes place.
	(New Application Transmittal [4-1] page 7 of 11)

13. Fe	e Pa	yment Being Made at This Time				
	No	t Enclosed				
	☐ No filing fee is to be paid at this time.  (This and the surcharge required by 37 C.F.R. § 1.16(e) can be paid subsequently.)					
X	En	closed				
	$\boxtimes$	Filing fee	\$66	65.00		
	Recording assignment (\$40.00 – 37 C.F.R. § 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION.") \$					
		Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached.  (\$130.00 – 37 C.F.R. §§ 1.47 and 1.17(i))	\$			
		For processing an application with a specification in a non-English language (\$130.00; 37 C.F.R. §§ 1.52(d) and 1.17(k))	\$			
		Processing and retention fee (\$130.00, 37 C.F.R. §§ 1.52(d) and 1.21(l))	\$			
		Fee for international-type search report (\$40.00; 37 C.F.R. § 1.21(e))	\$			
NOTE:	37 C.F.R. § 1.21(f) establishes a fee for processing and retaining any application that is abandon for failing to complete the application pursuant to 37 C.F.R. § 1.53(f) and this, as well as the change of the control of the con					
	Tot	al fees enclosed	\$70	5.00		
14. Me	thoc	of Payment of Fees				
$\boxtimes$	Atta	ached is a 🗵 check 🗆 money order in the amount of \$	705.00			
	Aut	horization if hereby made to charge the amount of \$				
		to Deposit Account No				
		to credit card as shown on the attached credit card inforauthorization form PTO-2038	rmation			
		arge any additional fees required by this paper or credit any of manner authorized above. A duplicate of this transmittal is a	overpaymen attached.	t in		
NOTE:	Fee: C.F.	s should be itemized in such a manner that it is clear for which purpose R. § 122(b).	the fees are p	aid. 37		

## 15. Authorization to Charge Additional Fees

WARNING: If no fees are to be paid on filling, the following items should not be completed.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

- The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 23-0442
  - 37 C.F.R. § 1.16(a), (f), or (g) (filing fees)
  - 37 C.F.R. § 1.16(b), (c), and (d) (presentation of extra claims)
- NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims canceled by amendment prior to the expiration of the time period set for response by the P.T.O. In any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the P.T.O. to charge additional claim fees, except possibly when dealing with amendments after final action.
  - ☐ 37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
  - ☐ 37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a))
  - ☐ 37 C.F.R. § 1.17 (application processing fees)

WARNING: ". A written request may be submitted in an application that is an authorization to treat any concurrent of future reply, requiring a petition for an extension of time under the paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fores, fees under § 1.7 or all required vatension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension or any concurrent reply requiring a petition for an extension of time under the spetition for an extension of time in any concurrent reply requiring a petition for an extension of time in any concurrent reply requiring a petition for an extension of

- 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))
- NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be authoriatically charged to the deposit account at the time of mailing the Notice of Allowance, 37 C.F.R. § 1,311(b).

time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small onlifty status must be filled in the application . . . prior to paying, or at the time of paying, . . . issue fee." From the wording of 37 C.F.R. § 1.28(b), (a) notification of change of status must be made even if the fee is paid as 'other than a small entity" and (b) no notification is required if the change is to another small entity.

16. Ins	struc	tions as to Overpayment			
NOTE:	" Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account "37 C.F. 8, 1.26(a).				
	X	Credit Account No	23-044	2	
		Refund			
Reg. N	o. ;	e 25, 2001 31,052 13) 261-1234		SIGNATURE OF PRACTITIONER  Jack M. Pasquale  (type or print name of practitioner	
Custom	ner N	lo. <b>004955</b>		Ware, Fressola, Van Der Sluys & Adolphson, LLP P.O. (Correspondence) Address Building Five, Bradford Green 755 Main Street, P.O. Box 224 Monroe, CT 06468	

	Incorporation by reference of added pages						
	(check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.)						
		Plus Added Pages for New Application Transmittal Where Benefit of Prior U.S.  Application(s) Claimed  Number of pages added					
		Plus Added Pages for Papers Referred to in Item 4 Above					
		Number of pages added					
		Plus added pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application.					
		Number of pages added					
		Plus "Assignment Cover Letter Accompanying New Application"					
		Number of pages added					
IVI	C+-	stament Where No Eurther Pages Added					

(if no further pages form a part of this Transmittal, then end this Transmittal with this page and check the following item.

This transmittal ends with this page.